

# Unit 9

## Hazard Mitigation





# Portal Questions

## Answer Key

1. List three mitigation activities supported by FEMA.
  - ◆ *Building Performance Assessment Teams (BPAT)*
  - ◆ *Sustainability/Sustainable Re-development*
  - ◆ *Mitigation Assistance Program*
  - ◆ *Community Assistance Program – State Support Services Element*
2. What are the basic eligibility requirements for a project to receive Hazard Mitigation Grant Program (HMGP) funding?
  - ◆ *Conform to the State Hazard Mitigation Plan developed as a requirement of Section 409.*
  - ◆ *Provide a beneficial impact upon the disaster area, including:*
    - *Projects located in the disaster area that address a site-specific problem and*
    - *Projects located outside of the disaster area but have an impact on reducing damages in the disaster area.*
  - ◆ *Conform with environmental regulations such as:*
    - *Executive Order 11988, Floodplain Management;*
    - *Executive Order 11990, Protection of Wetlands; and*
    - *National Environmental Policy Act.*
  - ◆ *Solve a problem independently or constitute a functional part of the solution.*
  - ◆ *Be cost-effective.*
3. Summarize the State's role in the HMGP.

*The States are responsible for administering the HMGP and prioritizing projects submitted by local jurisdictions, forwarding to FEMA those that are consistent with State mitigation planning objectives and for which there is available funding.*
4. List the four phases of hazard mitigation planning.
  - ◆ *Organize resources*
  - ◆ *Assess risks*
  - ◆ *Develop a mitigation plan*
  - ◆ *Implement the plan and monitor progress*

# Objectives

At the completion of this unit, you will be able to:

1. Summarize the components of the FEMA approach to mitigation in compliance with the Disaster Mitigation Act of 2000.
2. Identify pre-disaster and post-disaster mitigation programs.
3. Describe the various mitigation grants available through FIMA.
4. Describe State responsibility for administration of the HMGP by illustrating the application process.

# Topics

Mitigation as a Disaster Management Strategy

Disaster mitigation Act and Planning

Mitigation Activities

Multi-Hazard Mitigation Programs

Mitigation Grant Programs

Environmental Review

Learning Check

Supplemental Materials

# Mitigation as a Disaster Management Strategy

Natural hazards have been a part of American life since the earliest recordings of human settlement in this hemisphere. Pre-Columbian and colonial histories record numerous conflicts with the natural elements such as hurricanes, floods, earthquakes, and severe winter weather.

In this century, the United States has made great progress toward protecting its citizens from the risks natural hazards posed by:

- ◆ Developing fire and building life safety codes for much of the nation to reduce major urban fires and building failures.
- ◆ Establishing under the National Flood Insurance Program (NFIP) a national program of floodplain management with strong mitigation provisions to significantly reduce flood losses.
- ◆ Developing a national system of emergency management with a coordinated Federal Response Plan (FRP) to replace the piecemeal approach to recovery only after disaster strikes.
- ◆ Establishing a National Earthquake Hazards Reduction Program (NEHRP) to increase the availability of applied seismic research, develop State seismic hazard reduction programs, and provide training and education on methods to reduce the risk of loss of life and property to earthquakes.
- ◆ Establishing a National Hurricane Program to minimize loss of life and property from hurricanes through better property protection, warning and evacuation procedures, and training and education.
- ◆ Developing a National Inventory of Dams that has identified high-hazard dams and encouraged the development of warning systems and emergency plans for many of these facilities.
- ◆ Establishing an effective program of assistance to State and local governments for pre-disaster and post-disaster mitigation actions through various grant programs.
- ◆ Establishing a nationwide program of Federal, State, and local preparedness consisting of trained personnel, facilities, equipment, training, and exercises to save lives and protect property through warning, evacuation, shelter, and other pre- and post-disaster actions.

Despite these advances, disasters continue to result in untold suffering, billions of dollars in property losses, and environmental degradation.

The floods, earthquakes, wildfires, hurricanes, and other natural disasters of recent years have been a sobering reminder of work yet to be done to significantly reduce the vulnerability of Americans and their communities to natural hazard events, and to minimize the economic and societal disruption they cause.

As our society becomes ever more complex, the economic and societal costs of disasters are increasing every year. Projections of demographic trends for the next 15 years suggest that even more Americans will live and work in regions with significant natural hazard risk. The need to encourage timely, cost-effective means to save lives, reduce property damage, and limit disaster costs has never been more apparent.

This requires a mitigation program with national leadership and with the goal of natural hazard loss reduction as a national priority. Hazard mitigation is defined as sustained action taken to reduce or eliminate long-term risk to people and their property from hazards and their effects.

In its Strategic Plan for 2003-2008, FEMA recognizes the continued need for mitigation activities by stating:

Goal 1: Reduce loss of life and property

This will be achieved by the supporting objectives that include mitigation and preparedness planning.

The Disaster Mitigation Act of 2000 establishes a national program for pre-disaster mitigation as well as streamlining the administration of disaster relief. The agency reorganized to create the Federal Insurance and Mitigation Administration (FIMA) to manage the Flood Insurance Program and oversee FEMA's mitigation programs.

FIMA combines organizational activities to promote Protection, Prevention, and Partnerships at the Federal, State, local, and individual levels. FIMA is the cornerstone of emergency management. It's the ongoing effort to lessen the impact disasters have on peoples lives and property through damage prevention and flood insurance. Through measures such as, building safely within the floodplain or removing homes altogether; engineering buildings and infrastructures to withstand earthquakes; and creating and enforcing effective building codes to protect property from floods, hurricanes and other natural hazards, the impact on lives and communities is lessened.

# Disaster Mitigation Act and Planning

The Disaster Mitigation Act of 2000 (DMA 2000) became law on October 10, 2000, when the President signed Public Law 106-390. The legislation establishes several initiatives designed to improve State, Tribal, and local hazard mitigation planning. Section 322 of the Act requires that State, Tribal, and local governments prepare and adopt jurisdiction-wide hazard mitigation plans as a condition of receiving HMGP grants. The Act also establishes a pre-disaster mitigation grant program to help implement pre-disaster plans and fund pre-disaster “brick and mortar” mitigation projects.

FEMA and your State government can provide technical assistance to your community – whether or not you have suffered a disaster – when you are ready to develop a mitigation plan. DMA 2000 is intended to facilitate cooperation between State and local authorities, prompting them to work together. It encourages and rewards local and State pre-disaster planning and promotes sustainability as a strategy for disaster resistance. This planning approach will better enable local and State governments to identify hazard vulnerabilities and develop programs, policies, and projects designed to reduce the impact of future events. The identification of specific mitigation projects is intended to expedite pre- and post-disaster funding when it becomes available.

The DMA 2000 shifts Federal emergency management policy away from a reactive “response and recovery” approach. The emphasis is now placed on identifying hazards before they occur, preventing future losses, and minimizing the impact of disasters. To implement the new DMA 2000 requirements, FEMA prepared an Interim Final Rule, published in the Federal Register on February 26, 2002, at 44 CFR Parts 201 and 206, which establishes planning and funding criteria for States, Tribes, and local communities.

Point-Aux-Chenes, LA, October 7, 2002 -- This small fishing community was hard hit by a seven foot tidal surge that accompanied Hurricane Lili. Several homes in this community are elevated and did not receive the damage that the other homes did. Photo by Bob McMillan/ FEMA News Photo



By far, the best time to begin the process of incorporating disaster resistance into your community is *before* a disaster strikes. Identifying the hazards and risks in the community, anticipating disaster recovery issues, and prioritizing hazard mitigation policies and actions before a disaster strikes will result in substantial long-term reduction in risk and future disaster damages, in addition to minimizing the conflicts and chaos inherent in making sound recovery decisions following a disaster. Some opportunities that can be pursued at a deliberate pace in a pre-disaster setting include:

- ◆ designating areas where the acquisition of property would be most effective, establishing priorities to guide those purchases,
- ◆ designating target areas for retrofitting at-risk structures, and
- ◆ revisiting subdivision controls to better address natural hazards.

Following a disaster, communities that can identify and articulate their recovery needs to State and Federal officials quickly and clearly will expedite the delivery of post-disaster funding and technical assistance.

FEMA Hazard Mitigation. Raising an air conditioning unit can prevent losses and mishaps during a flood. Photo by: Dave Gatley/ FEMA News Photo



Natural hazard mitigation planning is the process of figuring out how to reduce or eliminate the loss of life and property damage resulting from natural hazards such as floods, earthquakes and tornadoes. The four major phases of the process are described below. For illustrative purposes, the accompanying diagram portrays a process that appears to proceed in a single direction. However, the mitigation planning process is rarely linear. It is not unusual that ideas developed while assessing risks may need revision, or that implementing the plan may result in the identification of new goals or additional risk assessment needs.

- ◆ **Organize Resources.** The first phase of the mitigation planning process includes assessing your planning capabilities, establishing a planning team, securing political support, and engaging the community in the effort.
- ◆ **Assess Risks.** The second phase of the mitigation planning process involves identifying and evaluating hazard risk. A risk assessment involves determining the exposure of your community to hazards, the probability of potential damages, and the compilation of expected loss estimates. Knowing the hazard vulnerability of your community will help you protect your most at-risk assets first.
- ◆ **Develop a Mitigation Plan.** The third phase of the mitigation planning process builds on the capability and risk assessment. Goals, objectives, and measures are developed next and are intended to guide actions based on the findings of steps one and two. This phase focuses on identifying mitigation measures to help achieve your goals and objectives intended to reduce future disaster-related losses.
- ◆ **Implement and Monitor Progress.** The fourth phase of the mitigation planning process involves adopting, implementing, monitoring, and reviewing the plan over time to ensure that the plan's goals and objectives are being met.

Specific agencies and individuals should be assigned responsibility to implement identified measures with clearly delineated timelines. Periodic review of the plan will keep the plan current, reflecting the changing needs of your community.

The passage of the Disaster Mitigation Act of 2000 reinforces the importance of mitigation planning and emphasizes planning for disasters before they occur. The Act requires that states and communities have an approved mitigation plan in place prior to receiving post-disaster mitigation funding. FEMA has prepared a series of mitigation planning “how-to” guides to assist states and communities in enhancing their mitigation planning capabilities and meeting DMA 2000 requirements. A separate guide was prepared for each of the four major phases, in addition to a number of special topic guidance documents. The “how-to” guides can be obtained free-of-charge by calling 1(800) 480-2520.

## Four Phases of Hazard Mitigation Planning



# Mitigation Activities

## Building Performance Assessment Team (BPAT)

Two important components of hazard mitigation are:

- ◆ assessing the vulnerability of buildings and infrastructure, and
- ◆ increasing building and infrastructure resistance to damage caused by hazard events.

This increased damage resistance is achieved through improvements in construction codes and standards, designs, methods, and materials used for both new construction and post-disaster repair and recovery. The **BPAT Program** is an integral part of this process. Preventive measures prove mitigation works. Check for success stories and details about the BPAT Program at:

<http://www.fema.gov/mit/bpat/>

## A Vision of Smart Recovery

*What does “smart recovery” really mean?*

In its broadest context, “smart recovery” meets the needs of the present without compromising the ability of future generations to meet their own needs. Essentially, “smart recovery” means that decisions made by the present generation will not reduce the options of future generations, but will pass on to them a natural, economic, and social environment that will provide a high quality of life.

The extent to which a community manages to achieve “smart recovery” after a disaster largely depends upon how well the concepts and principles of sustainable development, including disaster resilience, are integrated into individual, commercial, and governmental decision-making processes. Time and again, community leaders have indicated that the fundamental component of successful recovery efforts is community participation in the process – having people come together to identify a community’s needs and work toward collaborative solutions.

*How can a community achieve “smart recovery”?*

From experience, we know that communities, who have made a smart recovery, make more efficient use of their land. Such land-use decisions tend to emphasize open space planning by promoting greenways, parks, and landscaping. Additionally, the effective use of open space can prevent development from encroaching upon floodplains, active fault zones, and other hazard areas. Sustainable communities also take advantage of underutilized urban areas and encourage infill or “brownfield” development. Energy and resource conservation are high priorities and a greater emphasis is placed on public transit and creating mixed-use environments that are less dependent on automobiles.

An essential characteristic of a “smart recovery” community is its resilience to disasters. Traditional indicators are environmental, social, and economic health. The degree to which a community achieves smart recovery is directly related to the extent to which the values underlying these indicators are satisfied. However, another fundamental component must now be added: disaster resilience. Disaster resilience focuses community attention on issues related to sustainable development and livability because it is an issue that cuts across social, economic, and environmental lines.

## **Social Viability**

In considering social viability, a community has to balance the competing needs of its citizens. Following a disaster, for example, efforts may focus on citizens who are most likely to live in high hazard zones and may be less able to rebuild following a disaster. In other disasters, community efforts may focus on homeowners who have been allowed to build in environmentally sensitive areas. In either case, housing and access to basic public services are critical social needs in the aftermath of a disaster. Disasters can have other social consequences that may undermine community sustainability, including the loss of security, severe stress and anxiety, diminished trust in government, and the disruption of familiar environments and daily routines.

## Economic vitality

Economic vitality, including limiting economic losses associated with disasters, is essential to smart recovery. Economic recovery following a disaster typically has three key objectives: retaining existing businesses, promoting continued or new economic development, and ensuring that businesses are built back in a way that makes them less vulnerable to future disasters. Keeping local businesses and economic infrastructure out of high-risk areas, or disaster-proofing them if there is no practicable alternative, is an important approach to promoting a more sustainable economy and one that recovers more readily following a disaster.

## Environmental integrity

Preserving ecological integrity is the most important environmental indicator of smart recovery. This involves limiting the degradation of the environment and natural systems such as wetlands, floodplains, dunes, and active fault or landslide zones. Environmentally sensitive areas are frequently subject to the effects of natural hazards. Thus, by limiting development in these locations, environmental protection and risk reduction objectives are achieved simultaneously. Floodplains and wetlands, for instance, serve as natural buffers, absorbing excess rainfall, thereby limiting the effects of floods on the built environment while filtering non-point source pollutants.

### **EMERGENCY MANAGEMENT PERFORMANCE GRANT (EMPG)**

The Emergency Management Performance Grant (EMPG) is a Federal assistance program designed to assist the development, maintenance, and improvement of State and local emergency management capabilities, which are key components of a comprehensive national emergency management system for disasters and emergencies that may result from natural disasters or accidental or man-caused events. By combining former program activities into the Emergency Management Performance Grant (EMPG), FEMA is providing States the flexibility to allocate funds according to risk and to address the most urgent State and local needs in disaster mitigation, preparedness, response, and recovery. Working within the standard Federal government grant administration process, EMPG provides the support that State and local governments need to achieve measurable results in key functional areas of emergency management such as hazard identification, risk assessment, planning, training and exercises, and public education and information.

### **COMMUNITY ASSISTANCE PROGRAM - STATE SUPPORT SERVICES ELEMENT**

The Community Assistance Program (CAP) is a product-oriented financial assistance program directly related to the flood loss reduction objectives of the National Flood Insurance Program (NFIP). States and communities that are participating in the NFIP are eligible for this assistance. The CAP is intended to identify, prevent, and resolve floodplain management issues in participating communities before they develop into problems requiring enforcement action.

## Mitigation Activities Checklist

The State Emergency Management Agency and its staff can conduct activities that promote mitigation before disasters happen or as part of the long-term recovery after they happen.

Review this checklist to see what you are doing and what more you can do as the State Coordinating Officer or other State staff member.

### Pre-Disaster Mitigation Activities

Pre-disaster mitigation activities promote or incorporate the mitigation measures implemented in post-disaster activities. The following actions describe the job responsibilities in the pre-disaster environment.

- o Encourage the Flood Mitigation Assistance (FMA) program

The FMA program provides pre-disaster grants for both planning and implementation. Grant funds, which are available from NFIP insurance premiums, are available only to communities participating in the NFIP. Grants are available in each region. They are distributed based on the number of NFIP policies in force and are awarded based on the number of repetitive claims paid. Before FMA, mitigation funds were only available after disasters had struck, not beforehand.

- o Ensure Executive Orders 11988 and 11990 Are Carried Out

Executive Orders 11988 and 11990 are presidential edicts that require an eight-step decision-making process be utilized whenever Federal expenditures are planned within identified floodplain or wetland areas. Expenditures are allowed only when no other practicable alternatives exist.

- o Uphold COBRA

The Coastal Barrier Resources Act (COBRA) is a 1982 law that prohibits Federal expenditures within certain areas of identified barrier islands. The act includes federally backed mortgage loans, the sale of flood insurance, and the provision of Federal disaster assistance.

- o Promote the Hurricane Program (HP)

This multi-agency program combines FEMA and State efforts with the National Oceanic and Atmospheric Administration (NOAA) and the U.S. Army Corps of Engineers (USACE) to develop evacuation plans for coastal communities vulnerable to hurricanes and severe coastal storms. Grants are now available through the HP to State and local governments for property protection programs, hazard analysis and evacuation planning, post-storm analyses, training and exercises, and public awareness and education efforts.

- o Incorporate the National Earthquake Program (NEP)

The National Earthquake Hazards Reduction Program (NEHRP), established in 1977, is a partnership between four Federal entities: FEMA, the U.S. Geological Survey (USGS), the National Science Foundation, and the National Institute for Standards and Technology. Its purpose is to promote research into earthquake hazards and engineering techniques. It has recently been expanded by a newer program entitled the National Earthquake Program (NEP).

### Post-Disaster Mitigation Activities

The following actions describe the job responsibilities in the post-disaster environment.

- o Conduct Damage Assessments

Post-disaster repairs must be done quickly. When implementing post-disaster mitigation measures, considerations must be taken to repair and replace damaged structures so that they do not suffer the same damages again. Key points include:

- = Identifying where mitigation measures can be implemented.
- = Conducting site visits and researching current community plans and codes, past disaster damages, and disaster recurrence probabilities.

- o Develop Mitigation Plans and Interagency Hazard Mitigation Team Reports

The Interagency Hazard Mitigation Team consisting of Federal, State, and local officials determines what can be achieved following a disaster and prepares a strategy report within 15 days of the disaster. Mitigation staff duties include:

- = Coordinating the participation of appropriate officials.
- = Arranging site visits.
- = Analyzing the situation and making recommendations.
- = Developing and disseminating the report.

- o Conduct Applicants' Briefings

Local government, private nonprofit organizations, individuals, and businesses are eligible for different types of disaster assistance. Applicants' briefings are conducted to inform officials and individuals of the types of assistance that are available. Mitigation staff members are responsible for:

- = Informing people of the opportunities to implement mitigation measures.
- = Providing guidance of the process that must be followed.
- = Preparing materials for distribution.
- = Coordinating public information releases.

o Coordinate FEMA's "409" Program

States develop and implement a comprehensive, all-hazards, mitigation plan as a condition of Federal assistance. The plan must evaluate the hazards in the areas where Federal disaster relief proceeds are provided, and set forth a plan of action to mitigate those hazards. Mitigation staff duties may include:

- = Providing planning assistance to States.
- = Coordinating the provision of technical assistance available through other Federal agencies.
- = Reviewing and evaluating the plans.

o Coordinate FEMA's "404" Program

FEMA's "404" Program refers to the post-disaster HMGP, which cost shares the implementation of mitigation measures that are developed in conformance with the State priorities identified in the "409" Plan. The program is available upon State request and FEMA approval of an HMGP Administrative Plan. The program is then managed by the States, but projects are subject to an eligibility review by FEMA. States review HMGP proposals, rank them, and recommend them to FEMA for funding, if so desired. Mitigation staff duties include reviewing the proposals for conformance with the Federal regulations, which include a cost-benefit analysis, environmental review, and coordination with natural and cultural resource officials.

o Coordinate FEMA's "406" Program

FEMA's "406" Program refers to the "Public Assistance" (PA) program that cost-shares the repair of damaged facilities and infrastructure with eligible applicants. Under this program, all repairs must be made to applicable codes and standards, and damaged facilities can be improved for mitigation purposes if technically feasible, cost-effective, and environmentally sound. FEMA may prescribe codes and standards where they are lacking. Each repair must be generated by a Project Worksheet (PW). Mitigation staff duties include:

- = Reviewing PWs for mitigation opportunities.
- = Making recommendations based on reviewing the PW.
- = Ensuring that the solution is physically part of the damaged facility.

o Carry Out Additional Post-Disaster Responsibilities

Additional post-disaster mitigation staff duties might include:

- = Supporting Community Education programs.
- = Staffing multiple Disaster Recovery Centers (DRC).
- = Providing a general discussion of mitigation options available to applicants at the DRCs.
- = Referring applicants to specific programs and reference materials.
- = Monitoring compliance with local NFIP floodplain management ordinances or Federal Executive Orders and other regulations that pertain to the disbursement of Federal resources.
- = Assisting in the coordination of mitigation efforts with FEMA's Individual Assistance (IA) and/or Public Assistance (PA) programs.
- = Gathering data for environmental assessments.
- = Analyzing cost-benefit ratios for proposed projects.
- = Researching issues related to Historic Preservation.

—Adapted from Mitigation Orientation Manual  
for Disaster Assistance Employees,  
FEMA Region IV, October 1996.

# Multi-Hazard Mitigation Programs

FEMA endorses a multi-hazard approach to mitigation through the implementation of several programs. Some are summarized on the chart below.

| MULTI-HAZARD MITIGATION  |  |
|--|--|
| <b>THE NATIONAL FLOOD INSURANCE PROGRAM (NFIP)</b>               | The NFIP is the premier fundamental mitigation program in the United States. It provides the availability of flood insurance in exchange for the adoption of a minimum local floodplain management ordinance that regulates new and substantially improved development in identified flood hazard areas. The ordinance does not prohibit development in flood-prone areas. Rather, it directs development to be above or beyond the limits of anticipated flood inundation areas. These areas are known as the 100-year floodplain.  |
| <b>THE 100-YEAR FLOOD</b>  | The 100-Year Flood is the national planning standard and may be referred to as the Base Flood Elevation (BFE). The BFE references a flood that has a 1 percent chance of occurring or being exceeded in any given year. It does not mean that it will occur only once every 100 years. In fact, there is a 26 percent chance that a 1 percent flood will occur during the life of a 30-year mortgage on a structure located within a 100-year floodplain.  |
| <b>FLOOD INSURANCE RATE MAPS (FIRM)</b>                          | FIRMs are the mechanism by which flood hazard areas are identified. When a community agrees to participate in the NFIP, FEMA agrees to provide the community with the FIRMs.   |
| <b>PARTICIPATION IN THE NFIP</b>                                 | Nearly 19,000 communities nationwide participate in the NFIP. Over 3.3 million NFIP policies are in force. The entire program is self-sufficient. That is, the cost to FEMA of paying claims, developing maps, funding the FMAP grants, and providing technical assistance through an extensive staff, is entirely covered by the insurance premiums that floodplain occupants pay. While these figures are very favorable, others are equally startling. Only 30 percent of the structures in the nation's floodplains are insured. Approximately 30 percent of the claims paid are paid to only 2 percent of the policyholders. Another 30 percent of claims paid are for damages outside of the identified 100-year floodplain.   |
| <b>SUBSTANTIAL DAMAGE AND IMPROVEMENT OF EXISTING STRUCTURES</b> | When a structure is damaged greater than 50 percent of its pre-damage value, it is "substantially damaged." When a structure is improved greater than 50 percent of its pre-improvement value, it is "substantially improved." In either case, regardless of the source of damage, the need for the improvement, or the amount of construction undertaken, the construction is deemed the equivalent of new construction. Therefore, it is subject to the development regulations of the local floodplain ordinance. Thus, as flood damage, general decay, or substantial improvements occur, these structures must be located above or beyond the limits of the anticipated 100-year flood. The NFIP works! More than 80 percent of the damages incurred from floods occurs to "Pre-FIRM" structures. These are the structures that were built before the local governments' adoption of their local floodplain management ordinance. The development regulations on new and substantially damaged and improved construction prevent future, repetitive flood damage. |

|  |  |
|--|--|
| <b>THE COMMUNITY RATING SYSTEM (CRS)</b>     | The CRS is a program that rewards communities for going beyond the minimum requirements of the NFIP. Communities are awarded points for activities that have been proven to reduce flood losses. Upon accumulation of enough points to reach pre-identified plateaus, every NFIP policyholder in the community receives a 5 percent reduction to their insurance premium, up to the maximum of a 45 percent reduction.   |
| <b>MULTI-HAZARD IMPLICATIONS OF THE NFIP</b> | Because the substantial damage regulations are in effect regardless of the source of damage, structures must be protected from future flood damages even if they are damaged in an earthquake, a tornado, a hurricane, an explosion, or even a house fire. Thus, regardless of the type of disaster, it is always very important to identify if the community participates in the NFIP, and if there are any substantially damaged structures within the identified 100-year floodplain. |
| <b>MULTI-OBJECTIVE MANAGEMENT (MOM)</b>      | MOM refers to a process that presents many opportunities following floods and other disasters. The basis of the process is to combine multiple community goals with available resources to achieve an end result that is often greater than the sum of its parts.  |

—Adapted from Mitigation Orientation Manual for Disaster Assistance Employees, FEMA Region IV, October 1996.

# Mitigation Grant Programs

FEMA currently has three mitigation grant programs: the Hazards Mitigation Grant Program (HGMP), the Pre-Disaster Mitigation program (PDM), and the Flood Mitigation Assistance (FMA) program.

## The Hazard Mitigation Grant Program (HMGP)

### Program Purpose

- ◆ To reduce the risk of future damage, hardship, loss, or suffering as a result of major disasters by providing substantial financial support to implement cost-effective post-disaster State and local hazard mitigation measures.
- ◆ To provide funding for mitigation measures identified through the Section 409 post-disaster plan required of State and local governments as a condition of receiving Federal assistance.

### Program Goals

- ◆ To contribute to the development of a long-term comprehensive mitigation program by funding measures corresponding with the goals of the State Hazard Mitigation Plan.
- ◆ To take advantage of post-disaster opportunities identified through the Hazard Mitigation Survey Team or the Interagency Hazard Mitigation Team process, or other mechanism.

## Program Objectives are to encourage State and local governments to . . .

- ◆ Identify and implement cost-effective mitigation measures that will reduce future disaster losses.
- ◆ Coordinate mitigation needs with existing State and Federal efforts.
- ◆ Capitalize on previous mitigation planning efforts in order to maximize the financial opportunities available under the HMGP.

## Program Funding

- ◆ Total Federal assistance cannot exceed 15 percent of the total estimated Federal assistance provided under Sections 403, 406, 407, 408, 410, 411, 416, and 601 of the Stafford Act.
- ◆ FEMA may contribute up to 75 percent of the cost of measures approved for funding under the grant program for major disasters declared on or after June 10, 1993.
- ◆ The State and/or local share (which must be no less than 25 percent) may be met with cash or with in-kind services.



### **To calculate the amount of program funds available to a State, FEMA . . .**

1. Examines the PWs to determine estimated costs.
2. Reviews suspended PWs to ascertain anticipated costs.
3. Identifies costs of other Infrastructure Support projects.
4. Identifies grants provided to individuals.
5. Identifies costs of mission assignments.
6. Totals costs from Steps 1–5.
7. Calculates the Federal share (75 percent) of the total.
8. Authorizes funding for 15 percent of the Federal share.

### **To be eligible for funding, a project must meet the following minimum project criteria:**

- ◆ Conform with the State Hazard Mitigation Plan developed as a requirement of Section 409.
- ◆ Provide a beneficial impact upon the disaster area, including:
  - = Projects located in the disaster area that address a site-specific problem and
  - = Projects located outside of the disaster area but have an impact on reducing damages in the disaster area.
- ◆ Conform with environmental regulations such as:
  - = Executive Order 11988, Floodplain Management;
  - = Executive Order 11990, Protection of Wetlands; and
  - = National Environmental Policy Act.
- ◆ Solve a problem independently or constitute a functional part of the solution.
- ◆ Be cost-effective.

**Projects may be of any nature that will result in the protection of lives and/or public or private property. Eligible projects include, but are not limited to . . .**

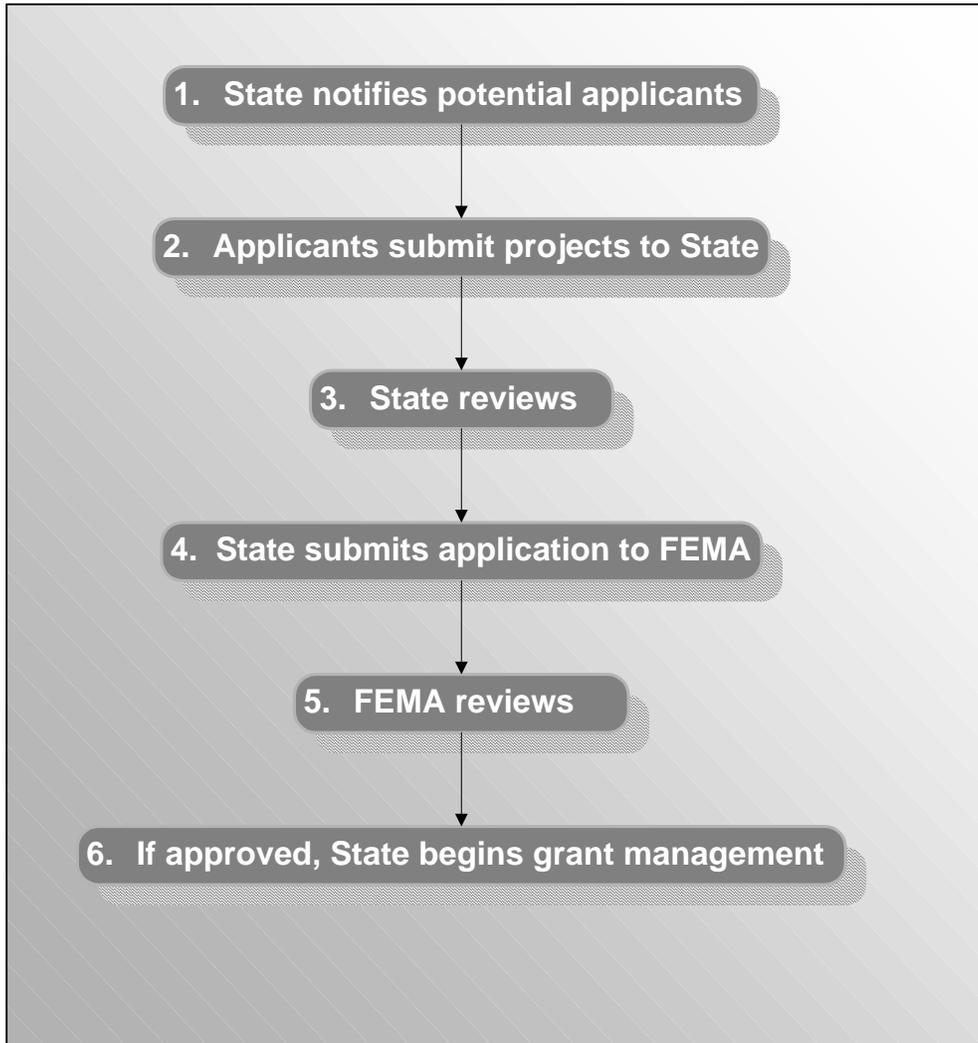
- ◆ Property acquisition, relocation of structures, and conversion of land to open space.
- ◆ Retrofitting or seismic rehabilitation of facilities.
- ◆ Elimination of flood-prone structures.
- ◆ Implementation of State or local mitigation standards, including training of enforcement officials.
- ◆ Development of a comprehensive mitigation program with implementation of an essential component.
- ◆ Initial implementation of vegetation management programs to reduce wildfire hazard to high-risk structures.

The following pages illustrate the HMGP Application Process, the Grant Program Sequence of Events, and the eight-step decision making process.

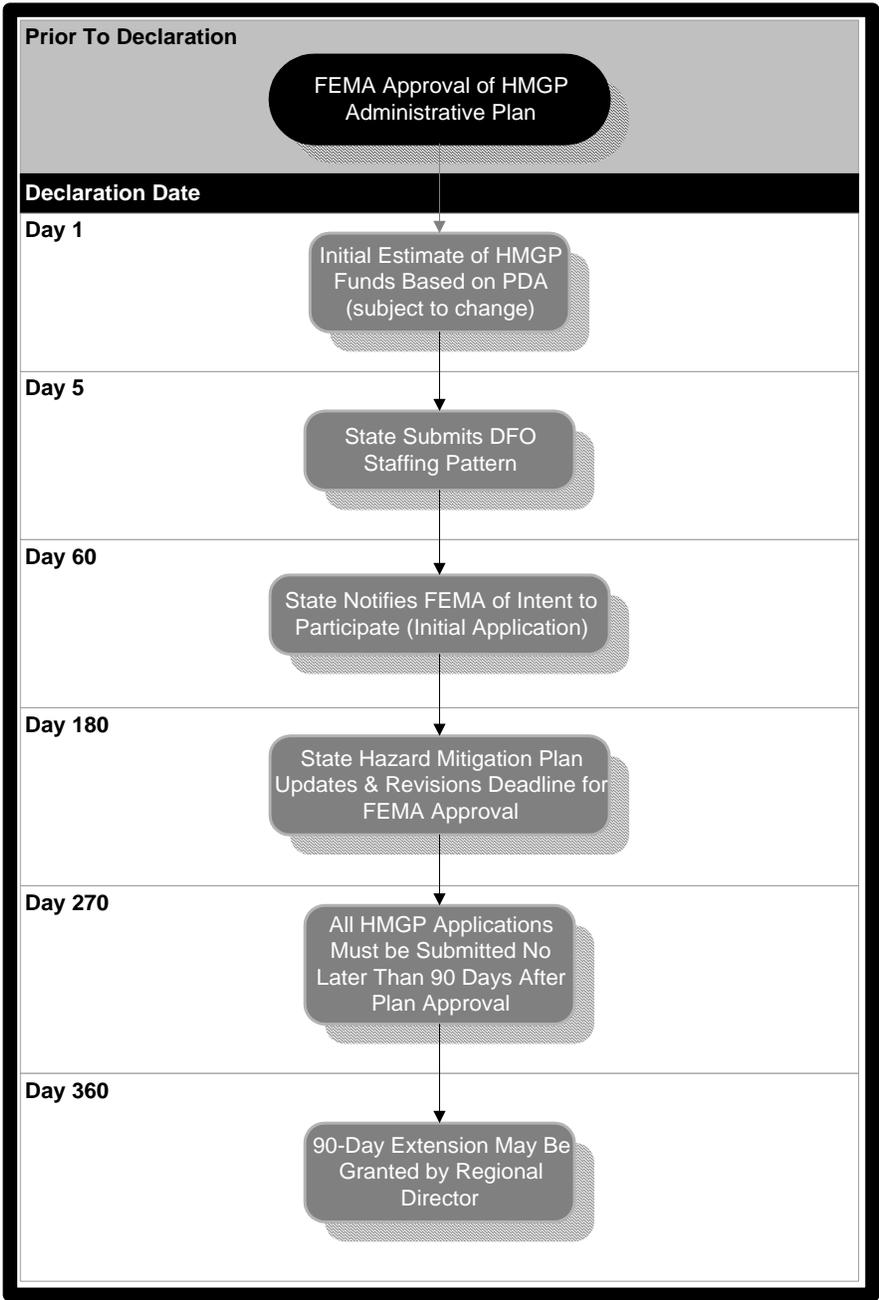
The Supplemental Materials section contains a list of FAQs regarding the HMGP.

Additional information about other HM Initiatives can be found in the Supplemental Materials section.

## Hazard Mitigation Grant Program Application Process



### Hazard Mitigation Grant Program Sequence of Events



## The Flood Mitigation Assistance (FMA) Program

### Program Purpose

FMA provides funding to assist States and communities in implementing measures to reduce or eliminate the long-term risk of flood damage to buildings, manufactured homes, and other structures insurable under the National Flood Insurance Program (NFIP).

### Program Funding

FMA was created as part of the National Flood Insurance Reform Act (NFIRA) of 1994 (42 U.S.C. 4101) with the goal of reducing or eliminating claims under the National Flood Insurance Program (NFIP). FMA regulations can be found in 44 CFR Part 78. Funding for the program is provided through the National Flood Insurance Fund. FMA is funded at \$20 million nationally.

## The Flood Mitigation Assistance (FMA) Program

### Grant Types

There are three types of grants available under FMA:

- ◆ Planning,
- ◆ Project, and
- ◆ Technical Assistance Grants.

**FMA Planning Grants** are available to States and communities to prepare Flood Mitigation Plans.

NFIP-participating communities with approved Flood Mitigation Plans can apply for **FMA Project Grants**. FMA Project Grants are available to States and NFIP participating communities to implement measures to reduce flood losses.

Ten percent of the Project Grant is made available to States as a **Technical Assistance Grant**. These funds may be used by the State to help administer the program. Communities receiving FMA Planning and Project Grants must be participating in the NFIP. A few examples of eligible FMA projects include: the elevation, acquisition, and relocation of NFIP-insured structures.

### State Role

States are encouraged to prioritize FMA project grant applications that include repetitive loss properties. The FY 2001 FMA emphasis encourages States and communities to address target repetitive loss properties identified in the Agency's Repetitive Loss Strategy. These include structures with four or more losses, and structures with two or more losses where cumulative payments have exceeded the property value.

State and communities are also encouraged to develop Plans that address the mitigation of these target repetitive loss properties.

## Pre-Disaster Mitigation (PDM) Program

### Program Purpose

The Pre-Disaster Mitigation Program provides technical and financial assistance to States and local governments for cost-effective pre-disaster hazard mitigation activities that complement a comprehensive mitigation program, and reduce injuries, loss of life, and damage and destruction of property.

FEMA provides PDM grants to States that, in turn, provide sub-grants to local governments for mitigation activities such as planning and the implementation of projects identified through the evaluation of natural hazards.

### Program Funding

The Pre-Disaster Mitigation (PDM) Program was authorized by §203 of the Robert T. Stafford Disaster Assistance and Emergency Relief Act (Stafford Act), 42 USC, as amended by §102 of the Disaster Mitigation Act of 2000.

Funding for the program is provided through the National Pre-Disaster Mitigation Fund to assist States and local governments in implementing cost-effective hazard mitigation activities that complement a comprehensive mitigation program.

To be eligible for PDM funding, applicants must participate in the National Flood Insurance Program (NFIP) and be in good standing (not on probation or suspended) if they have been mapped by FEMA.

## Pre-Disaster Mitigation (PDM) Program

### Eligible Activities

There are five types of eligible activities under the PDM Program:

- ◆ Management costs (up to \$50,000 for grantees)
- ◆ Information dissemination (up to 10%)
- ◆ Mitigation planning
- ◆ Technical assistance (for sub-grantees)
- ◆ Mitigation "brick and mortar" projects.

### Brick and Mortar Projects

A mitigation "brick and mortar" project is any action that results in elimination or long-term reduction of damages to public or private property from natural hazards and may include:

- ◆ Property acquisition or relocation;
- ◆ Structural and non-structural retrofitting for wildfire, seismic, wind or flood hazards (elevation, storm shutters, hurricane clips);
- ◆ Minor structural hazard control or protection projects that may include vegetation management, storm water management (culverts, floodgates, retention basins), or shoreline/landslide/snow avalanche stabilization [Major flood control projects such as dikes, levees, floodwalls, seawalls, groins, jetties, dams, beach nourishment, and waterway channelization are not eligible.]; and,
- ◆ Localized flood control projects, such as certain ring levees and floodwall systems, that are designed specifically to protect critical facilities and that do not constitute a section of a larger flood control system.

An approved mitigation plan is required for mitigation "brick and mortar" project grants. Therefore, PDM applicants are strongly encouraged to focus on the development of multi-hazard mitigation plans. Criteria for State and local hazard mitigation planning appears in 44 CFR Part 201, Hazard Mitigation Planning, which will take effect on November 1, 2003.

## Eight-Step Decision-Making Process

Executive Orders 11988 and 11990 are Presidential edicts that require use of an eight-step decision-making process whenever Federal expenditures are planned within identified floodplain or wetland areas, respectively. Expenditures are allowed only when no other practicable alternatives exist.

|               |   |
|---------------|---|
| <b>STEP 1</b> | Determine if the project is in wetland and/or the 100-year floodplain (500-year floodplain for critical actions), or if the project may affect or be affected by a wetland and/or floodplain.   |
| <b>STEP 2</b> | Notify the public as soon as possible of the intent to fund a project in a wetland and/or floodplain, and involve all affected and interested individuals and groups in the decision-making process.  |
| <b>STEP 3</b> | Identify and evaluate practicable alternatives to locating the project in a wetland and/or floodplain. If a practicable alternative exists, FEMA must locate the project at the alternative site.   |
| <b>STEP 4</b> | Identify direct/indirect impacts from the occupancy/modification of wetlands and/or floodplains, and potential direct/indirect support of wetland and/or floodplain development that could result.  |
| <b>STEP 5</b> | Minimize the potential adverse impacts and support to or within wetlands and/or floodplains to be identified under Step 4, restore and preserve the natural and beneficial values served by floodplains, and preserve and enhance the natural and beneficial values served by wetlands.   |
| <b>STEP 6</b> | Reevaluate the project to determine if it is still practicable with exposure to flood hazards, the increased hazards to others, and damage to wetland and/or floodplain values; and if alternatives preliminarily rejected in Step 3 are practicable with the information gained in Steps 4 and 5. FEMA will not approve actions in a wetland and/or floodplain unless there is no practicable alternative. |
| <b>STEP 7</b> | Prepare and publicize a finding and explanation of any final decision that the wetland and/or floodplain is the only practicable alternative.   |
| <b>STEP 8</b> | Review the project implementation and post-implementation stages to ensure that the Executive Order requirements are fully met. Oversight responsibility should be integrated into existing processes.  |

# Environmental Review

When providing disaster response, FEMA must comply with a vast array of environmental laws, regulations, and executive orders. These laws and regulations are designed to protect our nation's natural, cultural, social, and economic resources for future generations. Among the many federal environmental laws that may relate to FEMA funded projects, the most often addressed include: the Clean Water Act, the Clean Air Act, the Coastal Barriers Resources Act, the Coastal Zone Management Act, the Resource Conservation and Recovery Act, the Endangered Species Act, the National Historic Preservation Act, and Executive Orders covering Floodplains, Wetlands, and Environmental Justice. Any project that receives Federal funding **MUST** comply with applicable federal environmental and historic preservation laws and the review **MUST** be completed before work can begin.

The keystone of all these regulations is the National Environmental Policy Act, or NEPA. In 1969, Congress enacted NEPA in response to public concern about the deteriorating quality of the Nation's physical (air, water, and soils), natural (plants and animals), and cultural (archeology and historic structures) environment. NEPA takes a broad look at the environmental impacts of major Federal projects by requiring Federal agencies to include, along with the engineering and economic, an environmental perspective in project planning which evaluates potential

impacts of the proposed project and ensure an appropriate level of public involvement occurs.



Tivoli, Pa. -- A church, which has been flooded several times in the past five years, is moved out of harm's way and relocated 500 feet across highway 220 in Lycoming County, at a cost of \$24,000.

Photo by Liz Roll/FEMA News Photo

## NEPA Environmental Review

For mitigation projects, there are three levels of NEPA environmental review (FEMA 44 CFR 10.8):

1. Categorical Exclusions (CATEX),
2. Environmental Assessments (EA), and
3. Environmental Impact Statements (EIS).

This review process was established to:

- Ensure agency decision-makers are fully informed about the environmental consequences of their decision to fund or conduct an actions;
- Mandate that the public be informed of the proposed actions, the consequences of those actions and the ultimate agency decision; and
- Require review be performed BEFORE work is initiated

The time and effort needed for an environmental review depends on the project complexity and alternatives, project site characteristics, and the amount of information already available. FEMA and State staff can facilitate the environmental review process by informing applicants of the general and specific environmental review requirements and contacts for technical assistance.

## Benefits of Compliance

**Better Project Design** – A good environmental review can be instrumental in identifying potential implementation problems early in the process, modifications which help the project better meet community needs, grant conditions and alterations to the project that can be built into the project formulation, and ways to integrate the project with community priorities.

**Expedited Completion of Projects and Quick Obligation of Funds** – When environmental review is begun early in project planning, the review process is completed simultaneously with parallel reviews, and usually does not delay completion of the project. Delays are caused primarily when the review process begins late in the project development or the process was not appropriately followed.

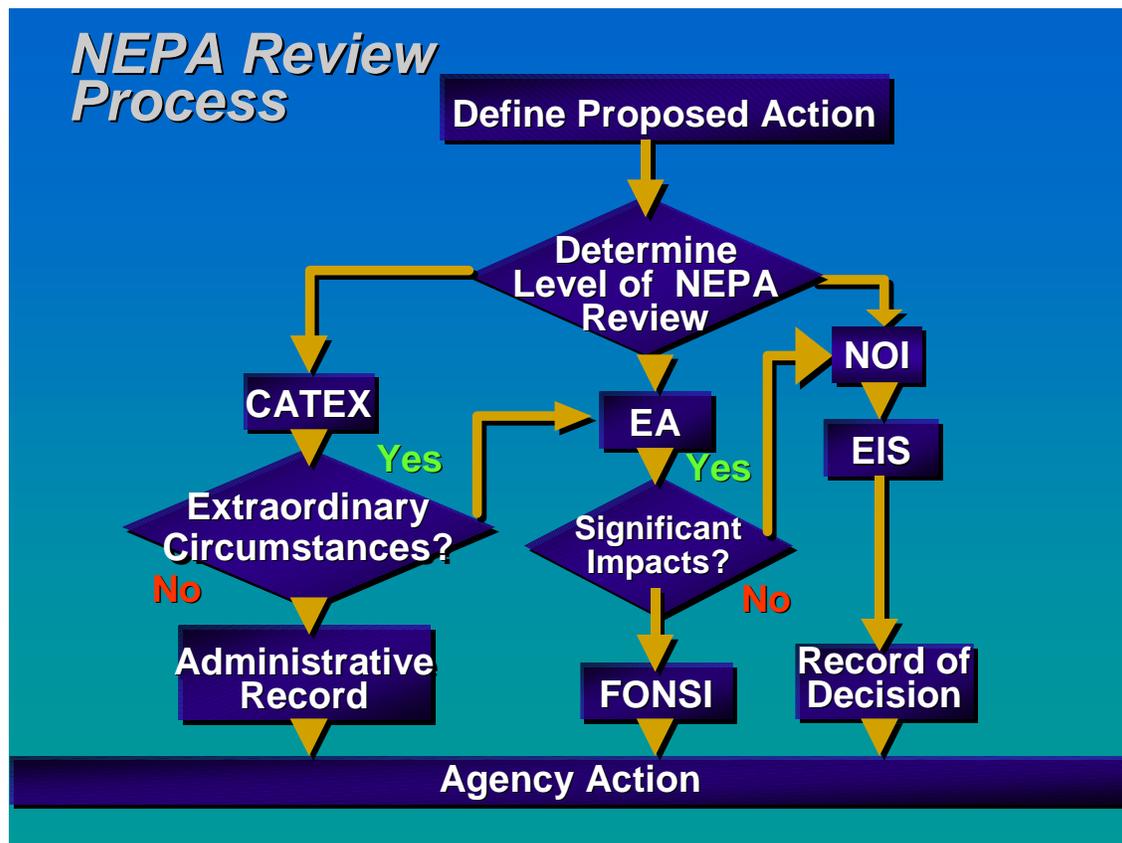
**Positive Publicity** – The result of timely and proper compliance with environmental laws is positive publicity for the Agency. The project is a result of a better planning process, a more informed decision maker, and involvement of interested parties and the public. In addition, the applicant is satisfied because the project was funded within a reasonable timeframe.

**Avoid Lawsuits** – Appropriately following the NEPA process reduces the likelihood that a citizen or other entity will file a lawsuit against FEMA. Most lawsuits relate to failure to follow the process of timing, analysis, documentation, disclosure, and consideration in agency decision-making. Lawsuits often begin with an injunction requiring immediate stoppage of work and may take considerable time, effort and cost in attorney fees and court costs to resolve.

## Environmental Review Process

The following flowchart illustrates the environmental review process required by the NEPA.

The three levels of environmental review for mitigation projects are described below and on the following pages.



It should be noted that for certain emergency actions, Congress granted FEMA Statutory Exclusion power, known as STATEXs. These are described in the Stafford Disaster Relief and Emergency Assistance Act and include such actions as administrative funding, debris removal, essential assistance such as food and other consumables, and search and rescue operations. Sections 402, 403, 406, 407, and 502 of the Stafford Disaster Relief and Emergency Assistance Act are Statutorily Excluded from NEPA Review. Funding for mitigation projects is *not* a STATEX-able action.

## 1. Categorical Exclusions (CATEX)

NEPA provides for each agency to develop a list of categories of actions determined through agency experience to typically have no effect on the environment, and thus may be excluded from detailed documentation. If a project meets CATEX criteria, then FEMA prepares a CATEX Memorandum for the Record (MFTR), with supporting documents. The CATEX MFTR is typically a one- to three-page memorandum that includes project purpose and need, project and site description, and justification of why the project will have little or no adverse environmental or socioeconomic impact.

FEMA actions eligible for CATEXs are found in 44 CFR Part 10.8 and (i.e., “CATEXable”) include:

- = Administrative activities (e.g., office work such as paperwork, telephone calls, and meetings; publication in the Federal Register; personnel actions; official travel).
- = Preparation, revision, and adoption of documents for “CATEXable” actions.
- = Studies that only use workforce (i.e., labor) and associated funds (e.g., wages, benefits, supplies).
- = Inspection, monitoring, granting variances, and enforcement of Federal, State, and local and tribal codes, standards, laws, regulations, and other statutes.
- = Training activities and operational exercises using existing facilities in ways that conform to past use or local land use ordinances.
- = Purchase of goods and services for daily and emergency activities, and temporary storage of non-hazardous goods in existing facilities or on previously disturbed lands.
- = Authorized acquisition (buyout) of properties and demolition/removal of structures from willing sellers, and the related buyer coordinated acquisition planning. Acquired properties must be deeded in perpetuity as open space, for recreation, or as wetlands.
- = Acquisition or lease of existing facilities for use in ways that conform to past use or local land use ordinances.
- = Acquisition, installation, or operation of utility and communication systems using existing systems or facilities, or currently used infrastructure rights-of-way (e.g., roadways, sewer lines, power lines).
- = Routine maintenance, repair, and grounds keeping at FEMA facilities.
- = Planting of indigenous (local native) vegetation.
- = Demolition of structures and other improvements (e.g., fences, roads), or disposal of non-hazardous structures, materials, or demolition debris in permitted (i.e., having appropriate State and Federal permits) off-site locations.
- = Physical relocation of individual structures where FEMA has no control over the relocation site or development.
- = Granting community-wide exceptions for floodproofed residential basements meeting the requirements of 44 CFR 60.6(c) under NFIP.
- = Repair, reconstruction, restoration, elevation, retrofitting, or upgrading to current codes and standards, or replacement of any facility in a way that substantially conforms to the preexisting design, function, and location (e.g., within an existing structure footprint).
- = Improvements to existing facilities and small-scale construction in existing developed areas with substantially completed infrastructure.
- = Activities within enclosed structures where all airborne emissions (e.g., gases, vapors, droplets, dust), waterborne effluent (wastewater), outdoor noise and radiation levels, and solid and bulk waste disposal comply with existing Federal, State, local, and tribal laws, regulations, and other statutes.
- = Selected emergency and disaster response and recovery planning and administrative activities.

Projects that meet one or more, but do not violate any, of these criteria may be CATEXable. Exceptions: If “exceptional circumstances” exist within an area such that a project may have a significant adverse impact, then an EA is needed (FEMA 44 CFR 10.8 (e)(3)). Examples include:

- = Unusually large project size or scope.
- = High level of controversy.
- = Degradation of existing poor environmental conditions.
- = Use of unproved technology with potential adverse impacts.
- = Presence of endangered or threatened species in their “critical” habitat, or cultural (archeological and historical) or other protected resources.
- = Presence of hazardous or toxic substances at levels (concentrations) that exceed Federal, State, local, or tribal laws, regulations, and other statutes.
- = Adverse impacts on wetlands, coastal zones, wildlife refuges, wilderness areas, wild and scenic rivers, or sole or principal drinking water aquifers.
- = Adverse impacts on health and safety.
- = Potential violation of Federal, State, local, or tribal environmental laws, regulations, or other statutes.
- = Significant “cumulative” impacts.

During the environmental review, if a project is determined to meet the CATEX criteria and there are no unresolved exceptional circumstances, then a CATEX review can be initiated. The CATEX review will include most issues considered for EAs and EISs (e.g., hydrology changes, threatened and endangered species, archaeological and historic resources). Supporting documents from State and Federal regulatory agency reviews will be kept in FEMA’s permanent records. After the CATEX review, if the project actually meets the CATEX requirements, then the environmental review process will end with the FEMA Regional Director issuing a CATEX memorandum.

- = **Note:** The FEMA Regional Director can revoke a CATEX determination and require an EA or EIS if the Regional Director determines that, due to new findings or project changes, the project no longer meets the CATEX requirements.

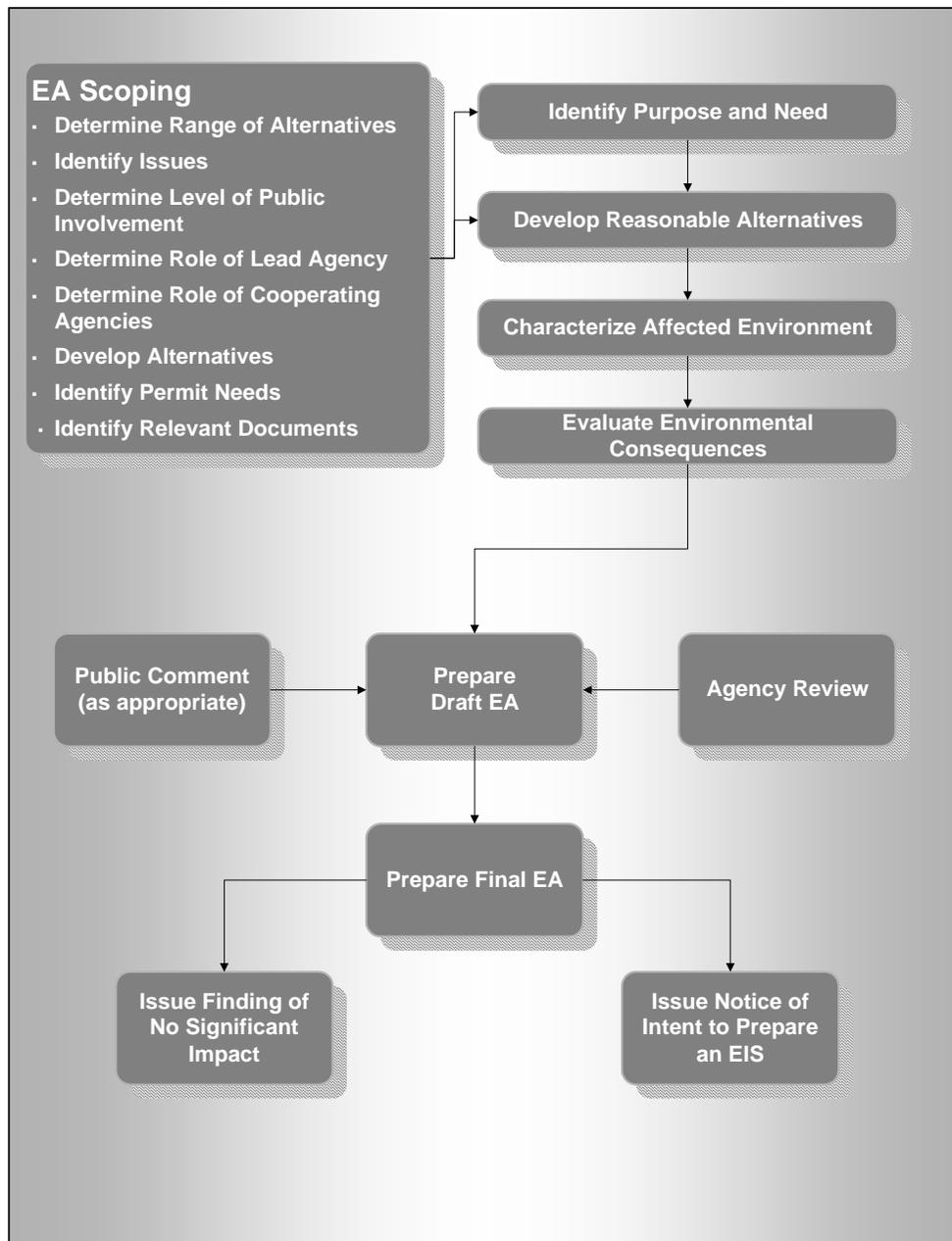
## 2. Environmental Assessments (EA)

Actions that do not qualify as a CATEX must undergo an environmental assessment (EA). (FEMA 44 CFR 10.9). An EA is a concise document that presents an evaluation of the potential environmental, historical, and societal impact of the proposed project and alternatives. While EAs need to consider aspects of the human and natural environment, an EA should not provide exhaustive information on any one area. Rather, the EA should provide a full description of a proposed action and a concise analysis of its potential impact.

The study can take from 3 months to a year to complete and usually culminates in an EA Report. An EA Report should be concise, comprehensive, and legally defensible. The report is used by FEMA decision-makers to determine whether to prepare a Finding of No Significant Impact (FONSI) or an Environmental Impact Statement (CEQ 40 CFR 1508; FEMA 44 CFR 10.9).

## EAs (continued)

The following chart illustrates FEMA's EA process:



### 3. Environmental Impact Statements (EIS)

If a project requires an EIS, then the FEMA Regional Office and FEMA HQ jointly initiate an Environmental Impact Statement (FEMA 44 CFR 10.9). The EIS is a more detailed, comprehensive technical analysis and evaluation of the project, alternatives, and potential significant adverse environmental or socioeconomic impacts. We will briefly discuss EISs here. Further details are in CEQ 40 CFR 1500-1508 and FEMA 44 CFR 10.10.

Examples of significant impacts include:

- = Adverse impacts, in large measure, on important natural resources, floodplains, wetlands, estuaries, beaches, dunes, unstable soils, steep slopes, aquifer recharge areas, sensitive or unique ecosystems, and wildlife (including pets) and their habitat.
- = Major adverse impact on air or water quality.
- = Adverse effect on a property listed or eligible for listing on the National Register of Historic Places.
- = An extensive change in land use or commitment of large land areas.
- = A land use change that is incompatible with the existing or planned land use of the surrounding area.
- = Many people will be affected.
- = If an action holds potential for threat or hazard to the public.
- = If any project impacts are likely to be controversial.

The required EIS involves extensive public participation, one or more draft EISs, and a final EIS. The EIS can take 2 to 3 years to complete. EISs are uncommon, however, when one is required, the large scope may require HMTAP work. The HMTAP work is closely coordinated among the contractor, FEMA, and FEMA HQ groups.

FEMA publishes a Notice of Intent (NOI) in the Federal Register before developing the EIS (44 CFR 1501.7). The NOI must include the name of the agency action (NOI to prepare a draft EIS), and a summary that includes the proposed action, a brief description of all reasonable alternatives and significant issues to be discussed in the EIS, and a description of the public involvement program. The NOI should also include an estimated date when the draft EIS will be available to the public, and the name and address of the person who can answer questions regarding the project and the EIS.

## NEPA and Other Laws

Correctly applying the FEMA NEPA Environmental Review process, other applicable environmental and historic preservation laws can be conveniently incorporated into the ER process



**FOR FURTHER INFORMATION:** To learn more about environmental review, please inquire about FEMA environmental and historic preservation course offerings.

## COBRA ZONES

The Coastal Barriers Resources Act (COBRA) of 1982 removed the Federal Government from financial involvement associated with building and development in undeveloped portions of hazardous coastal areas (Barrier Islands). These areas are mapped and designated as Coastal Barrier Resources System units, or **COBRA Zones**.

Congress established COBRA Zones to minimize:

- = Loss of human life,
- = Wasteful expenditure of Federal revenues, and
- = Damage to fish, wildlife, and other natural resources.

The U.S. Fish and Wildlife Service oversees COBRA Zones.

COBRA bans the sale of Federally backed flood insurance by the National Flood Insurance Program (NFIP) for structures built or substantially improved after October 1, 1983.

The Coastal Barrier Improvement Act (CBIA) of 1990 expanded and added COBRA Zones affected by the NFIP flood insurance ban. This ban affects structures built or substantially improved in the expanded or added COBRA Zones after November 1, 1991.

NFIP flood insurance may be sold in COBRA Zones if the building is grandfathered. An existing or new homeowner may purchase flood insurance through the NFIP for a building within a COBRA Zone if:

- = The building was constructed before the effective date of the COBRA or CBIA and
- = The community is a participant in the NFIP.

If the grandfathered building with flood insurance is substantially damaged or improved, the insurance policy will be canceled.

- = Substantial damage occurs when the total costs to fully repair a structure to its before-damage condition equal or exceed 50 percent of its market value. This will be determined by the local floodplain management official.
- = Substantial improvement occurs when the total costs of remodeling, renovating, and/or constructing an addition equals or exceeds 50 percent of the market value of the structure only (i.e., property value less the value of the land and other site improvements). Again, this will be determined by the local floodplain management official.



## Unit 9 Learning Check

1. List four FEMA programs or initiatives that support the concept of mitigation.
2. Define Smart Recovery.
3. State the general requirement that must be met for a project to receive HMGP funding.
4. List three examples of projects that may be eligible for HMGP funding.
5. What are the three levels of environmental review?

Please see Appendix A, page A.16 to check your answers.

# Supplemental Materials

## The Flood Mitigation Assistance Program

The Flood Mitigation Assistance program (FMA) is made available to a State on an annual basis. The FMA program provides grants to communities for projects that reduce the risk of flood damage to structures that have flood insurance coverage. This funding is available for mitigation planning and implementation of mitigation measures only. The State is the administrator of the FMA program and is responsible for selecting projects for funding from the applications submitted by all communities within the State. The State then forwards selected applications to FEMA for an eligibility determination. Although individuals cannot apply directly for FMA funds, their local governments may submit an application on their behalf.

### Key Points:

Funding for the program is drawn from the National Flood Insurance Program and does not draw reserves from the Presidential Disaster Relief Fund.

The program was developed to:

- ◆ Reduce the flood hazard for insurable structures under the National Flood Insurance Program and
- ◆ Address concerns regarding repetitively or substantially damaged structures and the associated claims on the National Flood Insurance Fund.

Under the FMA, grants are awarded for:

- ◆ Planning assistance to assist States and communities to develop flood mitigation plans,
- ◆ Project implementation for actual projects, and
- ◆ Technical assistance for States to assist applicants in applying for the program or in implementing approved projects.

## HAZUS

The Federal Emergency Management Agency, through a cooperative agreement with the National Institute of Building Sciences, has developed a standardized, nationally applicable earthquake loss estimation methodology. This methodology is implemented through PC-based Geographic Information System (GIS) software called HAZUS.

HAZUS is an essential element of FEMA's National Mitigation Strategy to promote sustained action to reduce or eliminate long-term risk to people and property from earthquakes. HAZUS also will assist local governments in facilitating short-term recovery through emergency preparedness in response to earthquakes. HAZUS is available in two versions: the original MapInfo® version and an ArcView® version.

HAZUS is being expanded into a multi-hazard methodology with new models for estimating potential losses from wind (hurricanes, thunderstorms, tornadoes, extra-tropical cyclones, and hail) and flood (riverine and coastal) hazards. FEMA's National Mitigation Strategy recognizes that mounting dollar losses cannot be adequately addressed by a fragmented approach to natural hazards. Instead, estimated losses for other hazards are needed to support FEMA's risk-based approach to mitigation and emergency preparedness and comprehensive mitigation programs by local communities.

HAZUS is a registered trademark of the Federal Emergency Management Agency (FEMA).

# Community Assistance Program

## State Support Services Element

The Community Assistance Program (CAP) provides funding to meet negotiated objectives for reducing flood hazards in NFIP communities. The program intends to identify, prevent, and resolve floodplain management issues in participating communities before they require compliance action by FEMA. Available CAP funding is provided on a 75 percent Federal maximum and 25 percent minimum State cost sharing basis through the annual FEMA-State Performance Partnership Agreements.

# Grant Guidance for FY 2002

## Pre-Disaster Mitigation Program

### CFDA 83.557

#### **I. Purpose:**

The Pre-Disaster Mitigation (PDM) Program provides funding to States and communities for cost-effective hazard mitigation activities that complement a comprehensive mitigation program, and reduce injuries, loss of life, and damage and destruction of property.

#### **II. Authorities:**

The PDM Program was authorized by §203 of the Robert T. Stafford Disaster Assistance and Emergency Relief Act (Stafford Act), 42 USC, as amended by §102 of the Disaster Mitigation Act of 2000 (DMA). \$25M was provided for the PDM Program under Public Law 107-73, 115 Stat. 651, Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 2002.

#### **III. Processes:**

FEMA provides PDM grants to States that, in turn, provide sub-grants to local governments for mitigation activities such as planning and the implementation of projects identified through the evaluation of natural hazards.

##### **A. Application Process**

In FY 2002, there is a two-part application process.

##### **Letter of Intent**

For the first part, States are requested to prepare a letter to the Regional Director by March 30, 2002, expressing their intent to participate in the PDM Program for FY 2002. The letter must also include a list of communities they are targeting (i.e., identify potential sub-grantees) based on a State prioritization that takes into consideration relevant criteria under § 203(g) of the Stafford Act (State will

provide its assessment of the extent to which the community meets the criteria as part of their grant application - see Grant Application.):

- (1) The extent and nature of the hazards to be mitigated;
- (2) The degree of commitment of the local government to reduce damages from future natural disasters;
- (3) The degree of commitment by the local government to support ongoing non-Federal support for the hazard mitigation measures to be carried out using the technical and financial assistance;
- (4) The extent to which the hazard mitigation measures to be carried out using the technical and financial assistance contribute to the mitigation goals and priorities established by the State;
- (5) The extent to which the technical and financial assistance is consistent with other assistance provided under the Act;
- (6) The extent to which prioritized, cost-effective mitigation activities that produce meaningful and definable outcomes are clearly identified;
- (7) The extent to which the activities identified under paragraph (6) are consistent with the existing State or local mitigation plan;
- (8) The opportunity to fund activities that maximize net benefits to society; and
- (9) The extent to which assistance will fund mitigation activities in small impoverished communities.

The list of communities is not binding. A State may determine that different communities would be more appropriate as sub-grantees before submitting their grant application. States that do not submit a letter of intent to the FEMA Region by March 30, 2002 risk losing their funding for FY 2002.

#### Grant Application

The second phase of the application process is the submission by the States of a grant application to the Regional Director by June 30, 2002. The application must include:

- ◆ Application for Federal Assistance, Standard Form 424;
- ◆ Budget Information – Non-Construction Program, FEMA Form 20-20;
- ◆ Summary Sheet for Assurances and Certification, FEMA Form 20-16;

- ◆ Assurances – Non-Construction Program, FEMA Form 20-16A;
- ◆ Certification Regarding Lobbying; Debarment, Suspension and Other Responsible Matters; and Drug-Free Workplace Requirements, FEMA Form 20-16C;
- ◆ Disclosure of Lobbying Activities, Standard Form LLL; and,
- ◆ Program Narrative identifying the activities for which PDM funding is requested.

The State should prioritize all of the activities included taking into consideration relevant criteria under § 203(g) of the Stafford Act. Mitigation projects should be ranked beginning with those that are most cost effective, consistent with OMB Circular A-94, Guidelines and Discount Rates for Benefit-Cost Analysis of Federal Programs. However, consideration should be made to complete mitigation projects within a geographic area when possible. In this case, supporting documentation should be submitted with the application.

The Project Narrative should include the following:

- (1) Individual activity location and name of sub-grantee;
- (2) Activity title and number;
- (3) Individual activity costs, including Federal and non-Federal shares;
- (4) Activity specific scopes of work, including a list of properties, if applicable;
- (5) Recommendations and documentation regarding the environmental review required by 44 Code of Federal Regulations (CFR) Part 10, Environmental Considerations, and other applicable laws and executive orders (States may seek support from FEMA);
- (6) Certification that the State has evaluated the included projects, they meet all PDM program eligibility criteria, and the projects will be implemented in accordance with 44 CFR Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; and,
- (7) State's assessment of the extent to which communities meet the criteria under § 203(g) of the Stafford Act as stated above (see Letter of Intent).

If a State does not meet the June 30, 2002 application deadline, Regional offices may obligate the funds to other States in their Region or de-allocate the funds.

To summarize, for FY 2002, States must:

- (1) Submit a letter of intent to FEMA along with targeted communities by March 30, 2002, and
- (2) Follow-up with a grant application package to FEMA by June 30, 2002.

## **B. Target Funding Levels**

The funding for each State is initially based on one percent of the total PDM FY 2002 appropriation (\$25M), as specified in §203(f). The remaining balance of the funding is based on each State's percentage of the total U.S. population. The 2000 Census data was used in making the allocations.

## **C. Match Requirements**

There is a 75/25 cost share requirement for PDM Program funding. FEMA will contribute up to 75 percent of the cost of PDM activities approved for funding. At least 25 percent of the total eligible costs must be provided by nonfederal sources. Grants awarded to small and impoverished communities may receive a Federal cost share of up to 90 percent of the total cost to implement eligible PDM activities. Documentation should be submitted with the application to support the eligibility for a higher FEMA cost share. A Small and Impoverished Community must meet all of the following criteria:

- It must be a community of 3,000 or fewer individuals that is identified by the State as a rural community, and is not a remote area within the corporate boundaries of a larger city;
- It must be economically disadvantaged, with residents having an average per capita annual income not exceeding 80 percent of national per capita income, based on best available data;
- It must have a local unemployment rate that exceeds by one percentage point or more, the most recently reported, average yearly national unemployment rate; and,
- It must meet any other factors identified in the State Plan in which the community is located.

All contributions, cash and in-kind, are accepted as part of the non-federal matching share. Except as allowed by Federal statute, no other Federal funds can be used as a match. Requirements for in-kind contributions can be found in 44 CFR 13.24. The following documentation is required for matching contributions:

- Record of source of donor,
- Dates,
- Rates,
- Amounts, and
- Deposit slips (cash contributions only).

#### **D. Performance Period**

The initial performance period for the grantee shall be equal to the longest performance period of the sub-grantee awards with a maximum of 18 months for planning sub-grants and 24 months for project sub-grants. For planning sub-grants, a draft plan must be submitted for review by FEMA within 12 months, and final plans must be submitted to FEMA within 18 months. For mitigation project sub-grants, a design and contract must be completed within 12 months so that work can be completed during the second 12 months.

#### **E. Extensions**

Requests for time extensions to the performance period will be considered but will not be approved automatically and must be supported by adequate justification submitted to the Regional Office in order to be processed. This justification is a written explanation of the reason or reasons for the delay; an outline of remaining funds available to support the extended performance period; and a description of performance measures necessary to complete the project. Under special circumstances where delays were unavoidable and documented during the performance period, exceptions may be approved; however, without the appropriate justification, extension requests will not be processed. Should any sub-grantee performance period need to be extended, the grantee performance period will need to be extended; however, the extension should be conditioned so that all completed sub-awards are closed out. Work must be in progress on the approved scope of work during the original performance period in order to qualify for an extension.

#### **IV. FY 2002 Emphasis on Planning:**

44 CFR Part 201, Hazard Mitigation Planning, establishes new criteria for State and local hazard mitigation planning authorized by §322 of the Stafford Act, as amended by §104 of the DMA. By November 1, 2003, local governments and Indian tribal governments applying for PDM funds through the States will have to have an approved local mitigation plan prior to the approval of mitigation project grants. Therefore, we encourage States to focus their FY 2002 PDM funding on the development of State and local multi-hazard mitigation plans (C under Section V, Eligible Activities) in order to meet the requirement. This may include developing countywide or multi-jurisdictional plans (must be adopted by all jurisdictions included), since many issues are better resolved by evaluating hazards in a more comprehensive fashion.

#### **V. Eligible Activities:**

Eligible activities for the FY 2002 PDM grants include:

**A. Management costs.** Grantees may use up to \$50,000 of their FY 2002 targeted funding to assist in soliciting, reviewing and processing PDM applications and sub-grant awards, and for providing technical assistance to sub-grantees. Costs may include salaries, space and equipment required to:

- (1) Develop or refine the statewide strategy for PDM program implementation, which includes identifying state mitigation priorities, and soliciting PDM applications for funding;
- (2) Provide assistance to sub-grantees in developing PDM applications; and,
- (3) Conduct workshops on the development of local mitigation plans.

[This is in addition to the one-time \$50,000 PDM State implementation grants as explained in the November 28, 2001, guidance memorandum, but must not duplicate those activities.]

**B. Information dissemination.** Up to 10 percent of the funds awarded to States may be used to disseminate information regarding cost-effective mitigation technologies, such as marketing, outreach, training and education.

**C. Planning.** PDM funds may be used to develop State, tribal, and local multi-hazard (may include man-made) mitigation plans which meet the planning criteria outlined in 44 CFR Part 201 pursuant to § 322 of the Stafford Act.

**D. Technical assistance.** Sub-grantees may solicit technical assistance to support the development of comprehensive mitigation projects. Costs incurred by the sub-grantee for technical assistance are eligible. Technical assistance should lead to the development of a viable project application. Sub-grantees must submit a final product (review, design, study, document) to FEMA. Technical assistance activities may include:

- (1) Environmental and historic preservation documentation necessary to comply with Federal and State environmental requirements;
- (2) Cost-effectiveness reviews;
- (3) Engineering or design studies; and
- (4) Risk assessments for mitigation plans.

**E. Mitigation projects.** A mitigation project is any action that results in elimination or long-term reduction of damages to public or private property from natural hazards and may include:

- (1) Property acquisition or relocation, consistent with the Hazard Mitigation Grant Program, as defined in 44 CFR, 206.434(d) and related guidance;
- (2) Structural and non-structural retrofitting for wildfire, seismic, wind or flood hazards (elevation, storm shutters, hurricane clips);
- (3) Minor structural hazard control or protection projects that may include vegetation management, stormwater management (culverts, floodgates, retention basins), or shoreline/landslide/snow avalanche stabilization [Major flood control projects such as dikes, levees, floodwalls, seawalls, groins, jetties, dams, beach nourishment, and waterway channelization are not eligible.]; and,
- (4) Localized flood control projects, such as certain ring levees and floodwall systems, that are designed specifically to protect critical facilities and that do not constitute a section of a larger flood control system.

Mitigation projects must also meet the following general criteria:

- (1) Be in conformance with the current FEMA-approved State hazard mitigation plan;
- (2) Be in conformance with 44 CFR Part 9, Floodplain Management and Protection of Wetlands, and 44 CFR Part 10, consistent with 44 CFR 206.434(b)(3);
- (3) Solve a problem independently or constitute a functional portion of a solution where there is assurance that the project as a whole will be completed, consistent with 44 CFR, 206.434(b)(4);
- (4) Be cost-effective and substantially reduce the risk of future damage, hardship, loss, or suffering resulting from a major disaster, consistent with 44 CFR, 206.434(b)(5) and related guidance;
- (5) Not duplicate the assistance that another Federal agency or program has the primary authority to provide, consistent with 44 CFR, 206.434(f);
- (6) Be physically located in an NFIP-participating community (if the community has been mapped through the NFIP) that is in good standing (not on probation or suspension); and,
- (7) Meet the requirements of Federal, State, and local laws.

## **VI. Environmental Review**

FEMA will conduct the final environmental review and approval for all activities in accordance with 44 CFR Part 10 prior to State awarding PDM sub-grants grants. The approval for some PDM Program activities, such as management costs, information dissemination, planning, and technical assistance (A-D under Section V, Eligible Activities) is automatic through the categorical exclusion under the National Environmental Policy Act, per 44 CFR 10.8. However, mitigation projects (E under Section V, Eligible Activities) may require more extensive environmental review sometimes resulting in an environmental assessment. To expedite the approval process, States should consult with the FEMA Regional Office as they develop their

environmental documentation. The cost of environmental review and documentation can be covered by the grant as part of technical assistance (D under Section V, Eligible Activities). However, until FEMA has completed its environmental review, FEMA will not approve funds for mitigation projects, and the applicant may not initiate construction.

### **VII. Reporting Requirements**

The States are required to submit quarterly financial and performance reports 30 days after the end of each quarter, per 44 CFR 13.40 and 41. Reporting dates are: January 30, April 30, July 30, and October 30. The performance reports will provide a comparison of actual accomplishments to the objectives approved for the period. Where the output of the project can be quantified, that information shall be provided. The States must also report the progress of each sub-grantee award in their quarterly reports. In addition, final financial and performance reports are required 90 days after the close of the grant, per 44 CFR 13.50.

### **VIII. Other Information:**

- A. The Catalog of Federal Domestic Assistance (CFDA) number is 83.557.
- B. Initial mitigation project information (E under Section V, Eligible Activities) for the FY 2002 PDM Program should be entered into NEMIS, either by the State or by the Region based upon data received from the State. Specific instructions regarding NEMIS data entry, collection, and tracking will be provided under separate cover.

## NEMIS and Hazard Mitigation

States will be able to submit their approved Mitigation Plans and Administrative Plans (through the Regions) for inclusion on the NEMIS Intranet Web site at [nemis.fema.gov](http://nemis.fema.gov). From any FEMA computer within the firewall, States can read each other's plans and view, print, or save to file many documents that pertain to Mitigation.



The screenshot shows a web page titled "MITIGATION" in large blue letters. Below the title is the heading "Mitigation Documentation". A note with a PDF icon states: "Note: In order to view some of the documentation below, you will need to have the Adobe Acrobat Reader Software. Click the Adobe PDF ICON image to download this software now. Run the Acroread.exe and follow the installation instructions." Below the note is a list of links:

- [Staying above Water](#) (FEMA Region VIII)
- [Reference Material](#)
- [Region I](#)
- [Region II](#)
- [Region III](#)
- [Region IV](#)
- [Region V](#)
- [Region VI](#)
- [Region VII](#)
- [Region VIII](#)
- [Region IX](#)
- [Region X](#)
- [Non-State Grantees](#)
- [Hazard Mitigation Grant Program \(HMGP\) Compendium](#)
- [Technical Bulletins](#)
- [Protecting Your Property Fact Sheets](#)

From the opening page of [nemis.fema.gov](http://nemis.fema.gov), users will click on the blue button marked Mitigation on the left side of the screen. The screen copied above will then open.

Below is an example of one of the States under the Region I heading, to show the documents that are available for most of the States.



The screenshot shows a web page for the "State of Connecticut". It features the state flag and the text "State of Connecticut". Below this is a note with a PDF icon: "Note: In order to view the documentation below, you will need to have PDF ICON image to download this software now. Run the Acroread.exe an". Below the note is a list of links:

- [Administration Plan](#)
- [Hazard Mitigation Assistance Grant](#)
- [Mitigation Plan](#)

## State Data Entry for NEMIS

Training and support for the use of NEMIS will be available through FEMA. If States do not have the capability of using NEMIS at places other than the Disaster Field Office, their FEMA Regional Office will provide the support for data entry.

The NEMIS Mitigation Job Aid provides details on data entry. The States have direct access and input to certain elements of the program. The matrix below outlines the State procedures.

| ENTER PROJECT APPLICATION DATA |  |
|--------------------------------|--|
| <b>What is it?</b>             | Using NEMIS to create a record for each project application and entering data on the project and the applicant on the Application Development data entry screens.  |
| <b>When does it start?</b>     | Post-declaration, after the Regional staff have entered disaster data.   |
| <b>Who does it?</b>            | State Mitigation staff, unless the State does not have access to NEMIS. Then the Regional Mitigation staff perform these tasks.  |
| <b>How is it done?</b>         | Execute 15 Tasks:<br>Task 1: Select Project<br>Task 2: Enter Application Information<br>Task 3: Enter Project Information<br>Task 4: Attach Hazard and Risk Analysis Data<br>Task 5: Enter Cost Estimate Data<br>Task 6: Enter Work Schedule Data<br>Task 7: Enter Public Notice Data<br>Task 8: Enter Non-Fed Share Fund Data<br>Task 9: Enter Property Site Inventory Data<br>Task 10: Attach Maintenance Assurance Data<br>Task 11: Enter Eligibility Review Overview Data<br>Task 12: Enter Comments<br>Task 13: Enter Eligibility Review Environmental Checklist<br>Task 14: Attach Documents<br>Task 15: Set Priorities, Determine Eligibility |

| <b>VERIFY AND SUBMIT PROJECT APPLICATIONS</b> |   |
|---|---|
| <b>What is it?</b>                            | Using NEMIS to verify data entry and submit the project application electronically to FEMA for funding.                         |
| <b>When does it start?</b>                    | Post-declaration, after the SF-424 is submitted.  |
| <b>Who does it?</b>                           | State Mitigation staff, unless the State does not have access to NEMIS. Then the Regional Mitigation staff perform these tasks. |
| <b>How is it done?</b>                        | Execute 3 Tasks:<br>Task 1: Select Project<br>Task 2: Verify and Submit Project Applications<br>Task 3: Review Financial Data   |

| <b>CREATE AN AMENDMENT</b> |   |
|----------------------------|---|
| <b>What is it?</b>         | Using NEMIS to make changes to a project application that has been approved or denied by FEMA.  |
| <b>When does it start?</b> | After FEMA staff complete an eligibility review described in Chapter 11, Enter Eligibility Determination Data.  |
| <b>Who does it?</b>        | State Mitigation staff, unless the State does not have access to NEMIS. Then the Regional Mitigation staff perform these tasks.   |
| <b>How is it done?</b>     | Execute 4 Tasks:<br>Task 1: Determine Status of the Project Application<br>Task 2: Select Project<br>Task 3: Create Amendment and Enter New Data<br>Task 4: Verify and Submit Project Application |

## NEMIS Reports

State and FEMA staff may generate reports to manage and monitor the HMGP with NEMIS. State staff can generate all reports except financial reports with signatures. FEMA staff can generate all reports.

Twenty-eight mitigation reports are available and should be generated at different phases of the disaster.

### Reports To Generate During the Pre-Declaration Phase

The following reports will assist the State and FEMA staff with planning and preparing for disaster response:

- ◆ State Administrative Plan Report
- ◆ Plan Implementation Action Status Report
- ◆ State Mitigation Plan

### Reports To Generate During the Post-Declaration Phase

The following reports will assist the State and FEMA staff with the tasks that occur after a declaration, when projects are submitted and approved:

- ◆ Disaster Overview
- ◆ Funding Estimate
- ◆ Funding Estimate Budget Planning
- ◆ Funding Estimate Financial Activity
- ◆ Team Building
- ◆ Project Cost Line Item
- ◆ Project Non-Federal Share
- ◆ Property Inventory
- ◆ State Application
- ◆ Environmental Review
- ◆ Federal Eligibility Work Packets
- ◆ Project Eligibility
- ◆ Project Appeal

## Reports To Generate During the Funding and Closeout Phase

The following reports will assist the State and FEMA staff with managing the project review process, the financial tasks, and the general oversight of the projects in the HMGP.

- ◆ Allocation Request
- ◆ Allocation Request with Signature
- ◆ Approved Project Management
- ◆ Disaster Closeout
- ◆ Field Survey
- ◆ Fiscal Year Management Report
- ◆ Full Project History Report
- ◆ Obligation Summary
- ◆ Obligation Summary with Signature
- ◆ Project Status List
- ◆ Quarterly Report Tracking
- ◆ Quarterly Reports by Project

The NEMIS Mitigation Job Aid provides the details on how to generate each of these reports.

## State Access to NEMIS Information

The matrix below indicates, by category, where States can find the information they need and how the information is entered. Regional Mitigation staff execute the data entry tasks. State staff with read-only access may need to review these screens to glean information for executing their NEMIS tasks. **This information comes from the NEMIS Mitigation Job Aid.**

| STATE'S INFORMATION NEED  | REGION'S DATA ENTRY TASK                       | PAGES |
|---|--|-------|
| <b>STATE ADMINISTRATIVE PLAN DATA</b>                                   |  |       |
| To view plans under review  | Task 1: Select Administrative Plan             | 3-7   |
| To determine the Federal share and the due date for HMGP applications   | Task 2: Enter Plan Data                        | 3-10  |
| To view status of review  | Task 3: Enter Plan Date Data                   | 3-11  |
| To view checklist, responses, and follow-up requirements                | Task 4: Enter Checklist Data                   | 3-14  |
| To view details on follow-up requirements                               | Task 5: Enter Follow-Up Data                   | 3-17  |
| To view plan and supporting documentation                               | Task 6: Attach Documents                       | 3-19  |
| To view the HMO and Division Director's decisions                       | Task 7: Enter Authorization Data               | 3-20  |
| <b>PDA DATA</b>   |  |       |
| To determine if the Mitigation Program has been identified for this PDA | Task 1: Ensure Hazard Mitigation is identified | 5-7   |
| To read the team names, leaders, members, and assignments               | Task 2: Create Teams                           | 5-9   |
| To read the preliminary estimated funding amounts                       | Task 3: Enter Program Data                     | 5-16  |
| To read answers to the PDA administrative questionnaire                 | Task 4: Enter Administrative Data              | 5-17  |
| To read answers to the building code evaluation                         | Task 5: Enter Building Code Data               | 5-22  |
| To read answers to the PDA environmental questionnaire                  | Task 6: Enter Environmental Data               | 5-24  |
| To read flood data  | Task 7: Enter Flood Data                       | 5-27  |
| To read data gathered on public structures                              | Task 8: Enter Data on Public Structures        | 5-31  |
| To read data gathered on residential structures                         | Task 9: Enter Data on Residential Structures   | 5-41  |
| To read comments made by the NEMIS users and PDA members                | Task 10: Enter Issues                          | 5-47  |

| STATE'S INFORMATION NEED   | REGION'S DATA ENTRY TASK  | PAGES |
|--|---|-------|
| <b>DISASTER DATA</b>   |   |       |
| To determine if the Mitigation Program has been designated for this disaster             | Task 1: Ensure the Declaration Data are complete                | 6-6   |
| To view Declaration Documents  | Task 2: Enter Mitigation-Specific Data in Declaration Module    | 6-9   |
| To view the final due date for HMGP Applications   | Task 3: Enter General Information                               | 6-10  |
| To view grantees designated for this disaster  | Task 4: Enter Grantee Information                               | 6-13  |
| To view SF424s submitted   | Task 5: Enter SF-424 Information                                | 6-18  |
| To view public notice details  | Task 6: Enter Federal Public Notice Data                        | 6-22  |
| To view the Letter of Intent, FEMA/State Agreement, or other supporting documents        | Task 7: Attach Documents  | 6-24  |
| To view grantees linked to users   | Task 8: Enter State User to Grantee Link Data                   | 6-25  |
| To view Project Worksheets   | Task 9: Enter Mitigation-Specific Data in PWs                   | 6-27  |
| <b>FUNDING ESTIMATE DATA</b>   |   |       |
| To view current funding estimate details, including obligations made to date             | Task 2: Enter Financial Details                                 | 7-9   |
| To view dates and amounts of estimates made  | Tasks 4 & 5: Enter Financial Information and Enter Lock-In Data | 7-15  |
| To view lock-in dates and amounts  | Tasks 4 & 5: Enter Financial Information and Enter Lock-In Data | 7-15  |
| To view available funding amounts based on obligations                                   | Task 6: Review Financial Activity Data                          | 7-18  |
| To view available funding amounts based on submitted projects                            | Task 7: Review Budget Planning Data                             | 7-21  |
| To read comments   | Task 8: Enter Comments  | 7-23  |
| <b>NEMIS TEAM BUILDING AND TRACKER TOOLS</b>   |   |       |
| To view teams and members  | Task 2: Develop Teams   | 8-11  |
| <b>ELIGIBILITY DETERMINATION DATA</b>  |   |       |
| To determine how to select a project application to view                                 | Task 1: Identify Work Packet                                    | 11-15 |
| To view eligible costs   | Task 4: Execute Cost Review                                     | 11-30 |
| To view regulatory criteria, additional criteria, and eligibility determination criteria | Task 5: Execute Eligibility Review                              | 11-33 |
| To view review of applicable Executive Orders  | Task 7: Execute Executive Orders Review                         | 11-46 |
| To view review of applicable Environmental Laws  | Task 8: Execute Other Environmental Laws Review                 | 11-49 |
| To view review of requirements for the National Environmental Policy Act (NEPA)          | Task 9: Execute NEPA Documentation Review                       | 11-52 |

| STATE'S INFORMATION NEED                            | REGION'S DATA ENTRY TASK   | PAGES          |
|---|--|----------------|
| <b>DATA TO PROCESS APPEALS</b>                      |  |                |
| To view dates tracking appeal process               | Task 2: Create Appeal Record and Document Receipt of Letter<br>Task 3: Update Appeal Record  | 13-8           |
| To view appeal decision                             | Task 4: Document Appeal Decision   | 13-12          |
| <b>ALLOCATE AND OBLIGATE FUNDS</b>                  |  |                |
| To view allocation amounts                          | Task 1: Create Allocation  | 14-9           |
| To view status of allocation                        | Task 4: Accept Approved Allocation, review work packet list<br>Chapter 15, Perform Program Oversight Tasks – Task 2: Perform Approved Project Management | 14-24<br>15-10 |
| To view obligation amount                           | Task 5: Create Obligation  | 14-27          |
| To view status of obligations                       | Task 8: Accept Obligation, review work packet list<br>Chapter 15, Perform Program Oversight Tasks – Task 2: Perform Approved Project Management          | 14-38<br>15-10 |
| <b>PERFORM PROGRAM OVERSIGHT TASKS</b>              |  |                |
| To view field surveys                               | Task 1: Document Field Surveys   | 15-7           |
| To view project summary data                        | Task 2: Perform Approved Project Management  | 15-10          |
| To view projects assigned to SF-424s                | Task 3: Complete SF-424 Information  | 15-16          |
| To view overall Federal share percentage and amount | Task 4: Perform Global Matching  | 15-22          |
| <b>PROJECT CLOSEOUT DATA</b>                        |  |                |
| To view if the project has been closed out          | Task 8: Closeout Project   | 17-30          |
| <b>PROGRAM CLOSEOUT DATA</b>                        |  |                |
| To view if the program has been closed out          | Task 1: Closeout Program   | 18-6           |

## Frequently Asked Questions Regarding the Hazard Mitigation Grant Program

*Q: What are the names of the three national model building code organizations and what do they do? How can I get more information about them?*

A:

BOCA - Building Officials and Code Administrators International, Inc. is responsible for the development of the National Building Code (NBC), which is adopted as law by many New England and upper Midwest states and local government legislative bodies to regulate construction within their jurisdictions. The building code establishes minimum acceptable requirements necessary for addressing property damage and preserving public health, safety, and welfare in the built environment.

BOCA  
4051 West Flossmoor Road  
Country Club Hills, IL 60478-5795  
708-799-2300  
Internet: <http://www.bocai.org/>

SBCCI - Southern Building Code Congress International, Inc. is responsible for the development of the Standard Building Code (SBC), which is adopted by many Southern states.

SBCCI  
900 Montclair Road  
Birmingham, AL 35213-1206  
205-591-1853  
Internet: <http://www.sbcci.org/>

ICBO - International Conference of Building Officials is responsible for the development of the Uniform Building Code (UBC), which is adopted by many Western states.

ICBO  
360 Workman Mill Road  
Whittier, CA 90601-2298  
800-284-4406  
Internet: <http://www.icbo.org/index.html>

*Q: Who is eligible for grants under FEMA's Hazard Mitigation Grant Program (HMGP)?*

A: HMGP funding is only available to applicants that reside within a Presidentially declared disaster area. Specifically, the HMGP can provide grants to State and local governments; certain private, non-profit organizations and institutions; Indian tribes or authorized tribal organizations; and Alaska Native villages or organizations. Local governments may also sponsor an application on behalf of individuals.

*Q: What types of projects can be funded by the HMGP?*

A: HMGP funds may be used to fund projects that will reduce or eliminate losses from future disasters. Projects must provide a long-term solution to a problem; for example, elevation of a home to reduce the risk of flood damages as opposed to buying sandbags and pumps to fight the flood. In addition, a project's potential savings must be more than the cost of implementing the project. Funds may be used to protect either public or private property or to purchase property that has been subjected to, or is in danger of, repetitive damage. Examples of projects include, but are not limited to:

- = Acquiring and relocating structures from hazard-prone areas;
- = Strengthening structures against floods, high winds, wildfire, or other hazards to protect structures from future damage;
- = Elevating structures to comply with the National Flood Insurance Program (NFIP); and
- = Developing State or local standards to protect new and substantially improved structures from disaster damage.

*Q: The States are responsible for administering the HMGP and prioritizing projects submitted by local jurisdictions, forwarding to FEMA those that are consistent with State mitigation planning objectives and for which there is available funding. How do I apply?*

A: Following a disaster declaration, the State will advertise that HMGP funding is available to fund mitigation projects in the State. Those interested in applying to the HMGP should contact their local government to begin the application process. Local governments should contact their State Hazard Mitigation Officer.

*Q: How much money is available in the HMGP?*

A: The amount of funding available for the HMGP under a particular disaster declaration is limited. HMGP funds are allocated according to a legislated formula based on the magnitude of total FEMA disaster dollars expended in a State. The formula provides

15 percent of FEMA's estimated total disaster costs available in the form of HMGP funds. It is the responsibility of the State to set priorities and allocate funding among applicants that meet State program objectives.

FEMA can fund up to 75 percent of the eligible costs of each project. The State or grantee must provide a 25 percent match, which can be fashioned from a combination of cash and in-kind sources. Funding from other Federal sources cannot be used for the 25 percent share with one exception: funding provided to States under the Community Development Block Grant program from the Department of Housing and Urban Development can be used to meet the non-Federal share requirement.

*Q: How are projects selected for funding, and by whom?*

A: The State, as grantee, is responsible for defining a project identification and selection process, ranking and prioritizing projects for funding, and forwarding projects to FEMA for approval. States evaluate projects according to the State's Hazard Mitigation Plan priorities. Approved projects are carried out by the applicant or subgrantee. Information regarding your State's Hazard Mitigation Plan priorities is available from your State Hazard Mitigation Officer (HMO).

*Q: How long will it take to get my project approved under the HMGP?*

A: Approval for a project application can be a lengthy process. Once eligible projects are selected by the State, they are forwarded to the FEMA Regional Office where they are reviewed to ensure compliance with Federal laws and regulations. One such law is the National Environmental Policy Act, passed by Congress in 1970, which requires FEMA to evaluate the potential environmental impacts of each proposed project. The time required for the environmental review depends on the complexity of the project.

*Q: How can I get more information about the HMGP?*

A: For further information on the HMGP, contact your State Hazard Mitigation Officer or the FEMA Mitigation Division in your Region.